



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address COMPTROLLER GENERAL'S OFFICE Enforcement Division 232 State Capitol Atlanta, Georgia 30334	Application Number 79-176	
Application Number		Date Received SEP 12 1979	Date Completed OCT 16 1979
2. Person to Contact Paula I. Jones		Working Title Secretary, Principle	Telephone Number 656-2060
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 1970 Latest Present		5. Records Series Title (followed by title used in office, if different) INSURANCE HOLDING COMPANY SYSTEMS FILES	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Holding Company Section of the Enforcement Division maintains files on all insurance holding companies licensed in this State. We receive and review all Form B Registration Statements, and review and approve all proposed mergers or acquisitions between companies. This Division has the only information relative to insurance holding companies.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Insurance Holding Companies Included are: Insurance Holding Company System Registration Statement, Form B, filed by all licensed companies who are members of an insurance holding company system. Form A Acquisition Statements for particular companies who have acquired or have been acquired by other companies or corporations. Financial statements which show gains and losses of the insurance company as well as the ultimate controlling parent. Various orders, correspondence, etc. File is arranged: Alphabetically by Ultimate Controlling Parent, therein chronologically by calendar year.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>100</u> ; Seven to twelve months old <u>100</u> ; Thirteen to twenty-four months old <u>15</u> ; twenty-five months and older <u>10</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <u>2</u> ; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	a. Is this the official copy of the series? If not, where is it?
<input checked="" type="checkbox"/>	<input type="checkbox"/>	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Acts 1970, p. 257 & 274
<input checked="" type="checkbox"/>	<input type="checkbox"/>	c. Is this a vital record?
<input checked="" type="checkbox"/>	<input type="checkbox"/>	d. Does this series have historical or long term research value?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	f. Is the information contained in this series ever published? If yes, attach copy.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	i. Is this series (or a major portion of it) regularly microfilmed?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

a. State Law	<u>0</u> years.	d. Audit period	<u>0</u> years.
b. Statute of limitation	<u>0</u> years.	e. Administrative need	<u>7</u> years.
c. Federal law	<u>0</u> years.	f. Federal retention instructions	<u>0</u> years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

Holding Company files need to be retained seven years in order to properly develop dividend trends from insurance company to its parent. Some extraordinary dividends are in violation of Section 56-34 of the Ga. Ins. Code. Certain trends can be used in determining these and other possible violations of the statutes and regulations.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area _____ month(s) 5 year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 2 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Raymond J. Famer</i>	9-10-79		

State Records Committee (Signature)		Date
State Auditor/Designee	<i>[Signature]</i>	10-12-79
Secretary of State/Designee	<i>Carroll Hunt</i>	10-10-79
Attorney General/Designee	<i>[Signature]</i>	10-15-79

Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)